

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))**

JFW
Docket No.
36194/42366

In Re Application Of:
Tully et al.

Serial No.
10/692,067

Filing Date
October 22, 2003

Examiner
To be determined

Group Art Unit
3628

Title:
System And Method For The Automated Brokerage Of Financial Instruments



Address to:
Assistant Commissioner for Patents
P.O. Box 1450, Alexandria, VA 22313-1450

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

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Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	10/692,067
Filing Date	October 22, 2003
First Named Inventor	Tully et al.
Art Unit	3628
Examiner Name	To Be Determined
Attorney Docket Number	36194 / 42366

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. 1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /M.Z./

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	10/692,067
				Filing Date	October 22, 2003
				First Named Inventor	Tully et al.
				Art Unit	3628
				Examiner Name	To Be Determined
(use as many sheets as necessary)				Attorney Docket Number	36194 / 42366
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				Art Unit	3628
				Examiner Name	To Be Determined
Sheet	4	of	5	Attorney Docket Number	36194 / 42366

FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ Kind Code ⁵ (if known)				

Examiner Signature	/Michael Zecher/	Date Considered	04/28/2008
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